

525 Rec'd PCT/PTO 19 OCT 2000

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE FORM PTO-1390 (REV 12-29-99)		ATTORNEY'S DOCKET NUMBER 2519US0P
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371		U.S. APPLICATION NO. (If known, see 37 CFR 1.5) <b>09/673958</b>
INTERNATIONAL APPLICATION NO. PCT/JP99/02224	INTERNATIONAL FILING DATE April 27, 1999	PRIORITY DATE CLAIMED April 28, 1998
TITLE OF INVENTION A Human Derived Immortalized Liver Cell Line		
APPLICANT(S) FOR DO/EO/US Masayoshi NANBA et al.		
<p>Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:</p> <ul style="list-style-type: none"> <li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>3. <input type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).</li> <li>4. <input checked="" type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.</li> <li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) * <ul style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).</li> <li>b. <input type="checkbox"/> has been transmitted by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ul> </li> <li>6. <input type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)).</li> <li>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).</li> <li>b. <input type="checkbox"/> have been transmitted by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input type="checkbox"/> have not been made and will not be made.</li> </ul> </li> <li>8. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). (<b>unexecuted</b>) (<b>3 separate declarations</b>)</li> <li>10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ul>		
<p><b>Items 11. to 16. below concern document(s) or information included:</b></p> <ul style="list-style-type: none"> <li>11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li>13. <input checked="" type="checkbox"/> A <b>FIRST</b> preliminary amendment. <ul style="list-style-type: none"> <li><input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment.</li> </ul> </li> <li>14. <input type="checkbox"/> A substitute specification.</li> <li>15. <input type="checkbox"/> A change of power of attorney and/or address letter.</li> <li>16. <input checked="" type="checkbox"/> Other items or information: <ul style="list-style-type: none"> <li>1) Sequence Listing (Paper &amp; Computer-readable copies)</li> <li>2) Sequence Listing Statement</li> </ul> </li> </ul>		
<p>* This includes specification 36 total pages, including Claims 1-11(2 pgs), Abstract (1 pg), Drawings (5 pgs) and Sequence listing (3 pgs).</p> <p>Received OCT 19, 2000 Express Mail N. EF074595390 US</p>		

U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <b>09/673958</b>		INTERNATIONAL APPLICATION NO. PCT/JP99/02224	ATTORNEY'S DOCKET NUMBER 2519US0P																				
<p>17. <input checked="" type="checkbox"/> The following fees are submitted:</p> <p><b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5) ) :</b></p> <p>Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... \$970.00</p> <p>International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... \$860.00</p> <p>International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$690.00</p> <p>International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... \$670.00</p> <p>International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$96.00</p>		<b>CALCULATIONS PTO USE ONLY</b>																					
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>		\$ 860.00																					
Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).		\$																					
<table border="1"> <thead> <tr> <th>CLAIMS</th> <th>NUMBER FILED</th> <th>NUMBER EXTRA</th> <th>RATE</th> </tr> </thead> <tbody> <tr> <td>Total claims</td> <td>11 - 20 =</td> <td>0</td> <td>X \$18.00</td> </tr> <tr> <td>Independent claims</td> <td>6 - 3 =</td> <td>3</td> <td>X \$ 80.0</td> </tr> <tr> <td colspan="2">MULTIPLE DEPENDENT CLAIM(S) (if applicable)</td> <td></td> <td>+ \$260.00</td> </tr> <tr> <td colspan="2"></td> <td></td> <td>\$ 0.00</td> </tr> </tbody> </table>		CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	Total claims	11 - 20 =	0	X \$18.00	Independent claims	6 - 3 =	3	X \$ 80.0	MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$260.00				\$ 0.00	\$ 1100.00	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE																				
Total claims	11 - 20 =	0	X \$18.00																				
Independent claims	6 - 3 =	3	X \$ 80.0																				
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$260.00																				
			\$ 0.00																				
<b>TOTAL OF ABOVE CALCULATIONS =</b>		\$ 1100.00																					
Reduction of 1/2 for filing by small entity, if applicable. A Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28).		\$																					
<b>SUBTOTAL =</b>		\$ 1100.00																					
Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)). +		\$																					
<b>TOTAL NATIONAL FEE =</b>		\$ 1100.00																					
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +		\$																					
<b>TOTAL FEES ENCLOSED =</b>		\$ 1100.00																					
		Amount to be refunded:	\$																				
		charged:	\$																				
<p>a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed.</p> <p>b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>500799</u> in the amount of \$ <u>1100.00</u> to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>500799</u>. A duplicate copy of this sheet is enclosed.</p>																							
<p><b>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</b></p>																							
SEND ALL CORRESPONDENCE TO: Customer No. 23,115		 SIGNATURE: Philippe Y. Riesen																					
		NAME <u>35,657</u>																					
		REGISTRATION NUMBER Date: October /7, 2000																					

09/673958

Attorney Docket No. 2519US0P

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Masayoshi NANBA et al. )  
  )  
Serial No.: to be assigned         )  
  ) Art Unit: to be assigned  
Filed: October 19, 2000             )  
  )  
Title: A Human Derived Immortalized     ) Examiner: to be assigned  
Liver Cell Line                     )

**CERTIFICATE OF EXPRESS MAILING under 37 C.F.R. §1.10**

Express Mail Label No. EF 074595390 US )

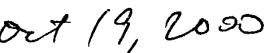
Deposited on OCT. 19, 2000

The undersigned certifies that the following attached documents:

1. PTO Return Receipt Postcard
2. Transmittal Letter for filing under 37 CFR 371 (2 copies) with authorization to charge deposit account for filing fees. (4 pages total)
3. Copy of International Application PCT/JP99/02224 as filed 27 APR 1999, including Description pg. 1-25, Claims 1-11 pg. 26-27, Abstract pg. 28, Figures 5 sheets, and Sequence Listing 3 pages. (36 pages total)
4. Submission of Sequence Listing and Written Sequence Listing (4 pages)
5. Computer Disk with CRF of Sequence Listing
6. Unsigned Declaration and Power of Attorney (9 pages)
7. First Preliminary Amendment (1 page)

are together being deposited with an USPS Employee for delivery by the USPS "Express Mail Post Office to Addressee" service in an envelope with sufficient postage addressed to: BOX PCT, Commissioner for Patents, Washington, D.C. 20231, under the Express Mail Label Number and on the date indicated above.

  
\_\_\_\_\_  
Mark Chao, Reg. No. 37,293

  
\_\_\_\_\_  
Date

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Masayoshi NANBA et al.  
Serial No. :  
Filed on :  
Group Art Unit :  
Examiner :  
Title : A Human Derived Immortalized Liver Cell Line

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

**STATEMENT IN SUPPORT OF FILING  
AND SUBMISSIONS IN ACCORDANCE WITH 37 CFR §§ 1.821-1.825**

In accordance with 37 CFR § 1.821(f), I hereby state that the content of the paper and computer-readable copies of the sequence listing submitted in accordance with 37 CFR §§ 1.821-1.825, respectively, are the same.

Date: October 17, 2000

Respectfully submitted,



Philippe Y. Riesen, Reg. No. 35,657  
Attorney for Applicants  
Customer No. 23,115